

GUIDE  
ARS-425 AUTHORIZATION  
TO APPLY FOR AND USE FUNDS FROM OUTSIDE SOURCES

**FORM NUMBER: 425**

Field Name	Information and/or Choice	MU Entry
<b>Modecode/ Log Number</b>	Defaulted by the users' modecode on insertion of a new 425. The log number is composed of the Mode Code followed by a sequential number assigned by the computer. The sequential number will never change and will be essentially a random number at the Management Unit level.	<i>no entry is needed here</i>
<b>Contact</b>	The name will be selected from a file of the "personnel" data within the Management Unit inputting the 425, obtained from NFC payroll file. The series and grade defaults from the selection.	<i>This will be the ARS scientist ...</i>  Only Category 1 and 4 SYs can be listed as Contact for all research proposals. <b>Services Only</b> can have non-SY listed as Contact, i.e., Location Administrative Officer.
<b>Type</b>	<b>P=Principal Investigator:</b> Responsible for the project <b>C=Co-Principal Investigator:</b> Shares responsibility with another, usually a non-ARS individual. <b>S=Secondary Investigator:</b> Has no responsibility for the completion of the project. Serves as an ad hoc advisor to the PI.	<i>ARS scientist will be?</i>
<b>Telephone</b>	Defaults to the Responsible Person's (RL) phone number from the "Mission Statement" file in ARIS.	<i>ARS scientist phone #?</i>  Phone number should be modified to reflect the phone number for the Contact.

<p><b>Purpose of funds</b></p> <p><b>NOTE:</b> When research &lt;\$25,000 total funding becomes &gt;\$25,000, the <b>Purpose of Funds</b> code will need to be changed to <b>2</b> and an AD-416/417 must be entered. The start date will default to the original start date of the &lt;\$25,000; if necessary, correct the start date on the 425 prior to attaching the 416/417.</p>	<p><b>1=Research &lt;=25,000:</b> Total funding for the duration of the project will not exceed \$25,000. Never requires an AD-416/417.</p> <p><b>2=Research &gt;25,000:</b> Total funding for the duration of the project will exceed \$25,000. Always requires an AD-416/417 which must be entered in ARIS before research begins and funds are committed to the project.</p> <p><b>3=Services Only:</b> Never requires an AD-416/417. Must identify type of service. Type of Agreement <b>R</b>.</p> <p><b>4=Research-No Funds to ARS:</b> To be used when scientists cooperate with non-ARS scientists on projects of mutual interest and funds do not enter the ARS accounting systems. No AD-416/417 is required. Also used for NSF proposals. Type of Agreement <b>R</b>.</p> <p><b>5=Gifts:</b> Use for “unrestricted” gifts. Never requires an AD-416/417. Type of Agreement <b>T</b>.</p>	<p><i>Answer these to choose Purpose of Funds #</i></p> <p>If funded, will ARS receive check for \$\$\$?</p> <p>YES    __ \$\$\$_____</p> <p>NO        __</p> <p>If YES &amp; less than 25K, choose #1</p> <p>If YES &amp; more than 25K, choose #2</p> <p>If YES &amp; Services Only, choose # 3</p> <p>If YES &amp; Gifts, choose # 5</p> <p>If NO FUNDS WILL BE RECEIVED BY ARS, choose # 4</p> <p><i>ARS scientist will be?</i></p>
<p><b>Type of agreement</b></p>	<p><b>R=Reimbursable:</b> ARS will bill the funding source as costs are obligated.</p> <p>Also use <b>R</b> with <b>Purpose of Funds</b> #4, RESEARCH-NO FUNDS TO ARS.</p> <p><b>T=Trust:</b> ARS receives all funds at start of the project.</p> <p><b>C=CRADA:</b> Funds are in support of a Cooperative Research and Development Agreement (CRADA).</p>	<p><i>ARS scientist will be?</i></p>

<p><b>If Service, Type of Services</b></p> <p><b>NOTE:</b> To be used only with <b>Purpose of Funds #3, Services Only.</b></p>	<p><b>1=Sale of Assets:</b> sale of property i.e. animals, crops etc.</p> <p><b>2=Quarters and Other Services:</b> housing and miscellaneous charges such as utilities available to employees on a reimbursable basis.</p> <p><b>3=Space and Other Services:</b> reimbursement of costs associated with space occupied by other agencies in ARS facilities. Other services are utilities, hazardous waste clean-up, building and ground maintenance, etc.</p> <p><b>4=Travel:</b> Receipt of funds from an outside organization for travel expense of an ARS employee. <b>In Kind</b> travel does not require the 425.</p> <p><b>5=Administrative Services:</b> Miscellaneous administrative services such as personnel, conferences, copier usage, etc.</p>	<p><i>Is the <b>Purpose of Funds #3 - Services Only</b>? If not, leave this blank.</i></p>
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<b>Remarks</b>	Briefly summarizes reason for action.	<p><i>Use to state reason for action and communicate any additional information.</i></p> <p>Examples: Proposal submitted to NRI-CGP, FY-95, \$200,000.</p> <p>CRADA proposal submitted to United Agricultural Products, FY-96, no funds involved.</p> <p>AWARDED to UNIV OF IL from Illinois Soybean Program Operating Board, \$200,000 for 3 yrs. NO FUNDS TO ARS. Move to Active Status.</p> <p>NO FUNDS to ARS. Funds, if awarded, to be administered by UNIV OF IL; proposal submitted to USB, FY-97, \$10,000.</p>
<b>Source of funds / Type</b>  <b>Type:</b> indicates type of organization. System generated from Source table.	Selected from a table that identifies all sources from whom ARS has received funds.	<p>If a source isn't shown in the table, send a message to the Area Program Analyst, who will see that necessary codes are established at NFC and entered into ARIS.</p> <p><i>ARS scientist source?</i></p>
<b>IPSC</b>  <b>IPSC</b> - Indirect Program Support Costs.	<p>Data from the Source Table identifies if IPSC is taken/waived automatically or if a request for waiver can be made to BPMS.</p> <p><b>N = Never waived; overhead will be taken.</b>  <b>Y = Can request waiver.</b>  <b>Blank = Exempt from overhead;</b> always waived as indicated in Source Table.</p>	

<b>Requesting IPSC waiver</b>	<b>Y=yes or N=no.</b> .	To request waiver of IPSC, choose <b>Y=Requesting Waiver</b> . State reason & use P&P 329.5, Page 4(E) dated 8/12/94 and cite exact reference applicable. BPMS will use this information to approve/disapprove the request.
<b>Financial Interest</b>	<b>Y=yes or N=no</b>	If <b>Y</b> entered, give explanation. The Agency Ethics Office will use this information for their records.
<b>Start/End Dates / Duration</b>	Computer automatically calculates the duration.	<p>Enter the proposed START and END dates.</p> <p><i>ARS scientist dates?</i></p> <p>When the proposal is funded, the dates <b>MUST BE</b> modified to reflect the <b>ACTUAL</b> Start and End date of the executed agreement. Once approved and in the Active File the Start date will become <b>non-modifiable</b> and will be the determining date for the 5-year duration.</p>

<p><b>How are Funds to be Used</b></p> <p><b>NOTE:</b> If <b>Purpose of Funds #4</b>, RESEARCH-NO FUNDS TO ARS, leave these fields all ZERO (blank).</p>	<p>ARS FTE: Number of ARS FTE who will be paid salaries from <b>these</b> funds.</p> <p><b>Cat 1 and 4 Salaries: ONLY APPLICABLE</b> to Baylor and Tufts University. <b>Is always ZERO for all other ARS locations.</b></p> <p><b>Supplies:</b> Used for supply costs.</p> <p><b>Equipment:</b> Used for equipment costs.</p> <p><b>*Other Federal Salaries:</b> Used for salaries of hired ARS employees, i.e., postdocs, technicians.</p> <p><b>Travel:</b> Used for travel costs.</p> <p><b>**RSA:</b> Used for RSA salary and any other RSA costs. RSA hire must be grad student; no PhD.</p> <p><b>***OtherCosts:</b> Used for SCA salary and related costs, IPSC, publication costs, and other costs without a designated field.</p> <p><b>Total Proposed Amount:</b> Calculated by the computer from individual field entries.</p>	<p>If ARS will be receiving \$\$\$ and the ARS scientist is hiring someone who will receive an ARS paycheck, put in the number of ARS FTE. For instance, if \$\$\$ will pay for 3 FTE over a 2-year period, the ARS FTE should be 3. <b>DO NOT INCLUDE RSA FTE. PERSONS WORKING WITHIN AN RSA ARE NOT ARS EMPLOYEES.</b></p> <p><i>ARS scientist funds distribution:</i></p> <p>If ARS is receiving \$\$\$, distribute in these categories:</p> <p>_____ Cat 1 and 4 Salaries</p> <p>_____ Supplies</p> <p>_____ Equipment</p> <p>_____ Other Federal Salaries*</p> <p>_____ Travel</p> <p>_____ RSA**</p> <p>_____ Other Costs***</p>
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<b>Value of Owned/Controlled ARS Building/Land</b>	<b>This field must be completed when the Type of Agreement is C=CRADA.</b>	The cost of the use of building and/or land is a real cost that is borne by each CRIS. ARS can either ask the outside party to pay its fair share of those costs or ARS can consider those costs to be an in-kind contribution. In either case, those costs must be considered in developing a budget. <b>First</b> - estimate the percentage of ARS owned or controlled buildings and/or land to be used when performing the research/service. <b>Second</b> - find the amount budgeted for land and structures (Object Class 3200 on the approved ARMP) on the CRIS associated with the research/service. <b>Third</b> - multiply the amount budgeted for buildings and land by the estimated percentage. This is the result to be entered. This amount IS NOT part of <b>How are Funds to be Used</b> , and WILL NOT be calculated in the <b>Total Proposed Amount</b> .
<b>Title of Proposal</b>  <b>NOTE: Services Only</b> will have no title.	This is a required field on all research projects, and will become non-modifiable on research projects over \$25,000 after an AD-416/417 is entered.	<i>ARS scientist proposal title?</i>  All modifications to the title must be made on the AD-416.
<b>Work to be Completed</b>	This field is required for all research agreements.	Describe the type of work to be performed. Use the <b>Objectives</b> from ARS scientist proposal for this field, i.e., Investigate ... Determine ....  <i>ARS scientist proposal objectives?</i>

<p><b>Work to be Performed</b></p> <p><b>NOTE:</b> If \$\$\$ to RSA or SCA, <b>Work to be Performed</b> must change from <b>Inhouse</b> to <b>Both</b> or <b>Extramural</b> depending on ARS scientist's involvement in project</p>	<p><b>I=Inhouse:</b> All work will be performed inhouse by an ARS scientist.</p> <p><b>E=Extramural:</b> All work will be performed extramurally by an outside organization (by means of an SCA or RSA or Contract).</p> <p><b>B=Both:</b> Part of the work will be performed <b>inhouse</b> by an ARS scientist and part <b>extramurally</b> by an outside organization (using an SCA, RSA, or Contract).</p>	<p>Is ARS scientist giving \$\$\$ to a RSA or SCA:</p> <p>NO   __</p> <p>I=Inhouse</p> <p>YES   __ \$\$\$_____</p> <p>Either E=Extramural or B=Both</p> <p><i>What will ARS scientist be doing?</i></p> <p><i>Will ARS scientist have others involved? How?</i></p>
<p><b>Extramural Agreement Type</b></p> <p><b>NOTE:</b> This field is required if <b>Work to be Performed</b> value is <b>E</b> or <b>B</b>.</p>	<p><b>1=Specific Cooperative Agreement (SCA)</b></p> <p><b>2=Contract</b></p> <p><b>3=Grant</b></p> <p><b>4=General Cooperative Agreement</b> (Used only at Baylor)</p> <p><b>5=Research Support Agreement (RSA)</b></p>	<p><i>If ARS scientist is giving funds out, how?</i></p>
<p><b>Principal Performing Organization</b></p> <p><b>NOTE:</b> This field is required if <b>Work to be Performed</b> value is <b>E</b> or <b>B</b>.</p>	<p>Name of <b>Principal Performing Organization</b></p>	<p>This field <b>MUST</b> be selected from the Performing Organization table. If an organization is not shown in the table, contact the Area Program Analyst to establish one.</p> <p>If there is more than one Performing Organization, enter the one receiving the most \$\$\$ and explain the other one receiving \$\$\$ in the "Reason" field.</p> <p><i>What organization is receiving \$\$\$ from ARS scientist?</i></p>
<p><b>Extramural Amount</b></p> <p><b>NOTE:</b> This field is required if <b>Work to be Performed</b> value is <b>B</b> or <b>E</b>.</p>	<p>Amount of \$\$\$ given to <b>Principal Performing Organization</b></p>	<p>Enter the amount in whole dollars that will be given to the Principal Performing Organization. If multiple, add and enter total. Do not use other punctuation in whole dollars; computer automatically generates punctuation.</p> <p>\$\$\$_____</p>



<b>Reason for Extramural Research</b>  <b>NOTE:</b> This field is required if "Work to be Performed" value is "E" or "B".	Describes the reason the work will have to be performed extramurally.	Match remarks to Extramural Agreement type.  Examples: “Research Support Agreement for services, salary costs.” “Specific Cooperative Agreement with Case Western Reserve University; Dr. Kung's lab has the expertise in construction of retroviruses for mutagenesis analysis. Project requires additional expertise in construction of retroviruses for ... not currently available in the MU or ARS.”
<b>In-house Project Title/Number</b>	This field is required for research agreements, and is to be selected from the list of inhouse projects within the Management Unit.	Select the related inhouse project that the Contact person is listed on as an Investigator. The title of the inhouse project will default in from the selected project number.  <i>Which project is ARS scientist listed on as Investigator?</i>
<b>Research Related to In-house Project</b>	This field is required for research agreements. <b>Y=Yes:</b> proposed research is directly related to the Contact's inhouse research. <b>N=No:</b> proposed research is not directly related to the Contact's inhouse research.	
<b>If no, describe why funds should be solicited</b>	This field is required if proposed research is not directly related to the Contact's inhouse project.	Describe why these funds should be solicited.  <i>Funds are being solicited to ...</i>
<b>Sub-Commodity and STP Codes</b>	This field is required for research agreements, and is to be selected from the sub-commodities and strategic plan codes (STP) from the inhouse project.	<b>Select up to 2 STP codes</b> from the list. At least 1 code is required. <b>Select up to 4 sub-commodities</b> from the list. At least 1 sub-commodity is required.

<p><b>Describe Deliverables</b></p>	<p>This is a required field for research agreements.</p>	<p>Describe the deliverables the Agency (<i>ARS scientist</i>) will provide the funding organization.</p> <p>Examples:          “Production systems to manage crop pests.”          “Results of all physiological assays (immune and hormone) and behavioral observations of dairy cattle.”          “New germplasm line.”          For NRI-CGP, state "Progress reports and final financial status report."</p> <p>Use verbage from objectives in proposal to fill this in.</p> <p><i>What will research of the ARS scientist accomplish? Impact?</i></p>
<p><b>Research Require More FTE's</b></p> <p><b>NOTE:</b> The data in this field "matches" the data from <b>How are Funds to be Used - ARS FTE.</b></p>	<p>This is a required field for research agreements.</p> <p><b>Y=Yes:</b> if yes, indicate the number of FTE's needed. (If yes, the Area Director will agree/disagree to provide the FTE's.)</p> <p><b>N=No:</b> if no, leave <b>Number of FTE needed</b> blank.</p>	<p>If \$\$\$ is in Other Federal Salaries, a FTE is required.</p>